

Schedule 34-13

SECRETARY OF STATE UNIFORM COMMERCIAL CODE DIVISION

August 22, 2005

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	SCHEDULE
	34-13
	AGENCY, BOARD OR COMMISSION
	SECRETARY OF STATE
	DIVISION, BUREAU OR OTHER UNIT
	UNIFORM COMMERCIAL CODE DIVISION
	Supersedes Edition of December 8, 1988

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

DATE

SSA J. R. Smith
Deputy Secretary of State

8-17-05

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

DATE

Andrea Z. Faling

STATE ARCHIVIST

Aug. 19, 2005

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

DATE

John A. Hall
STATE RECORDS ADMINISTRATOR

8/22/05

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 34-13 – SECRETARY OF STATE – UNIFORM COMMERCIAL CODE DIVISION

34-13-1 UNIFORM COMMERCIAL CODE FILINGS

Includes real and personal property mortgages, financing statements and subsequent action documents filed by lending institutions, utility corporations and manufacturers. The filing data is on-line.

ORIGINAL RECORD: Scan and microfilm, destroy originals.

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after lapse plus 1 year.

MICROFILM WORK COPY: Dispose of after lapse plus 1 year.

ELECTRONIC DATA: Dispose of after 7 years.

SECURITY BACKUP: Backup weekly; dispose of after superseded.

34-13-2 TERMINATION REPORT

Monthly listing of database application which is posted on the Secretary of State website.

Dispose of after superseded.

34-13-3 SECURED PARTY LISTING (OBSOLETE 2000)

Computer report listing name, address and assigned number of lending institution.

Report is updated every month.

Dispose of all obsolete records.

34-13-4 TRANSACTION REPORTS, DAILY

Report lists the previous day's transactions including name, fee and type of filing.

Reports summarize the transactions for the respective periods.

Dispose of after 2 years, provided audit has been completed.¹

34-13-5 DEBTOR INDEX

Index of all debtors.

ORIGINAL RECORD: Retain permanently.

ELECTRONIC DATA: Retain permanently.

SECURITY BACKUP: Backup weekly, dispose of after superseded.

34-13-7 EFFECTIVE FINANCING STATEMENT MASTER LIST

Data input by Secretary of State staff regarding pertinent debtor, secured party, and collateral information.

ELECTRONIC DATA: Dispose of after terminated.

SECURITY MICROFICHE: Transfer to the State Records Center; dispose of after 5 years.

MICROFICHE WORK COPY: Dispose of after 2 years.

SECURITY BACKUP: Backup weekly, dispose of after superseded.

34-13-8 BUYER REGISTRATION FORM

Client designates the types of listings (commodities) desired and what format it is to be sent (microfiche, paper or CD), and in what order (alpha, social security number).

Dispose of after 5 years, provided audit has been completed.¹

34-13-9 BUYER REGISTRATION INDEX

Index to requesters of the commodity listing. Indicates the requester, address, phone number, contact person, name of commodities, type of listings, etc.

PAPER RECORD: Dispose of when superseded or obsolete.

ELECTRONIC DATA: Dispose of at the end of each year.

SECURITY BACKUP: Backup weekly, dispose of after superseded.

34-13-10 EFS BUYER REGISTRATION LISTING

Computer report which indicates the types of listings, format, and order to be sent to each requester.

Dispose of when superseded or obsolete.

34-13-11 MONTHLY STATEMENT OF ACTIVITY

Listing of all types of filings (Federal and State Tax Liens and Judgment Filings) during the previous month. Generated by county and split into clerk versus register of deeds.

ORIGINAL: Dispose of after 2 years, provided audit has been completed.¹

COPIES: Dispose of when superseded or obsolete.

34-13-12 EFFECTIVE FINANCING STATEMENT FILINGS

Includes agriculture related financing statements and subsequent action documents file by lending institutions. The filing data is on-line.

ORIGINAL RECORD: Scan and microfilm, destroy originals.

SECURITY MICROFILM: Transfer to the State Records Center, dispose of after lapse.

MICROFILM WORK COPY: Dispose of after lapse.

ELECTRONIC DATA: Dispose of after 7 years.

SECURITY BACKUP: Backup weekly, dispose of after superseded.

DELETED RECORDS

34-13-12 MONTHLY UCC STATEMENT, combined with 34-13-11.

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet